

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Attorney Docket No. 024051/0135**

**Applicant:** Gary Allan KEMP II et al.  
**Title:** CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF  
MARKET DEPTH  
**Serial No.:** 09/590,692  
**Filed:** June 9, 2000  
**Examiner:** Weisberger, Richard C.  
**Art Unit:** 3624  
**Allowed:** July 31, 2002

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.56 and 37 CFR §1.97**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR 1.97 and 1.98. Both Silverman references were previously submitted with Applicants' Petition to Make Special, and Applicants believe the Silverman references are already of record in the application; however, in an abundance of caution Applicants are re-submitting the Silverman references on the enclosed Form PTO-SB/08. It is requested that the documents be given careful consideration and that they be cited of record in the prosecution history of the present application so that they will appear on the face of the patent issuing from the present application.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against

the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a prima facie prior art reference against the claims of the present application.

Portions of the references may be material to the examination of the pending claims, however no such admission is intended. 37 C.F.R. 1.97 (h). The references have not been reviewed in sufficient detail to make any other representation and, in particular, no representation is intended as to the relative importance of any portion of the references.

#### **TIMING OF THE DISCLOSURE**

The instant Information Disclosure Statement is being filed in compliance with 37 C.F.R. §1.97(b) within three (3) months of the filing date of a request for continued examination (RCE) in the above-identified application.

Applicants respectfully request that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

Respectfully submitted,

NOVEMBER 12, 2002

Date



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Should additional fees be necessary in connection with the filing of this paper, or if a petition for extension of time is required for timely acceptance of same, the Commissioner is hereby authorized to charge Deposit Account No. 19-0741 for any such fees, and applicant(s) hereby petition for any needed extension of time.